

08/19/2003



U.S. PTO

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August 19, 2003

ATTORNEY DOCKET No.: DNA1170-2

MAIL STOP PATENT APPLICATION

Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the new provisional-to-utility patent application of:

APPLICANTS: **TONY N. FRUDAKIS AND MARK D. SHRIVER**

FOR: **COMPOSITIONS AND METHODS FOR INFERRING ANCESTRY**

Enclosed are the following papers, including all those required to receive a filing date under 37 CFR § 1.53(b):

Number of Pages

Specification	170
Claims	13
Abstract	1
Declaration	3
Drawings - Formal	11

EXPRESS MAIL Number: EV 318739855 US

Date of Deposit: August 19, 2003

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to:

JASON BERRY

(Name of Individual Depositing with P.O.)

Jason Berry
(Signature of Individual Depositing with P.O.)

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Enclosures:

- Initial Information Data Sheet (3 pages);
- Transmittal Letter Under 37 C.F.R. § 1.52(e) (2 pages);
- Verified Statement Under 37 C.F.R. § 1.821(f) (1 page);
- Statement Under 37 C.F.R. §§ 1.821(f) (1 page);
- Paper Copy Sequence Listing (68 pages);
- Sequence Listing in computer readable form (3.5" disk);
- Two (2) Algorithm IBM-PC CD-R Compact - Copy 1 and Copy 2; and
- Return Receipt Postcard

This application claims the benefit of priority under 35 U.S.C. § 119(e) of U.S. Serial No. 60/404,357, filed August 19, 2002, and U.S. Serial No. 60/467,613, filed May 2, 2003, and is a continuation-in-part of U.S. Serial No. 10/156,995, filed May 28, 2002; a continuation-in-part of U.S. Serial No. 10/188,359, filed July 1, 2002; and a continuation-in-part of International Application PCT/US02/38345, filed November 26, 2002 (Intl. Publ. No. WO 03/045227A, June 5, 2003), the contents of which is incorporated by reference in its entirety herein.

Applicants claim **SMALL ENTITY status** in the above-identified application. Pursuant to 37 C.F.R. § 1.27, a verified statement claiming small entity status is not required.

The filing fee is calculated as follows:

	Number Filed			Number Extra		Rate		Fee	
						Large Entity	Small Entity	Large Entity	Small Entity
Total Claims	82	-20	=	62	X	\$18	\$09	= \$	\$
Independent Claims	4	-3	=	1	X	\$84	\$42	= \$0	\$
Multiple Dependent Claims Presented: ___ Yes <u>X</u> No						\$280	\$140	\$	\$
						BASIC FEE		\$750.00	\$375.00
						TOTAL FEE		\$	\$

GRAY CARY WARE & FREIDENRICH LLP

ATTORNEY DOCKET NO.: DNA1170-2

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COMMISSIONER FOR PATENTS

August 19, 2003

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If this application is found to be INCOMPLETE, or if a telephone conference would otherwise be helpful, please call the undersigned at (858) 677-1456.

All future correspondence should be addressed to:

Lisa A. Halle, J.D., Ph.D.

GRAY CARY WARE & FREIDENRICH LLP

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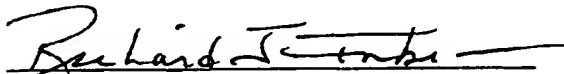
Telephone: (858) 677-1456

Facsimile: (858) 677-1465

A copy of this letter is enclosed. Kindly acknowledge receipt of this application by returning the enclosed postcard.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP



Richard J. Imbra

Registration No.: 37,643

August 19, 2003

Date

RJI:ct

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Frudakis and Shriver	Art Unit:	Unknown
Application No.:	To be assigned	Examiner	Unknown
Filed:	Herewith		
Title:	COMPOSITIONS AND METHODS FOR INFERRING ANCESTRY		

MAIL STOP PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER UNDER 37 C.F.R. § 1.52(e)

Sir:

Submitted along with the above-referenced application and incorporated by reference therein are two CD-R compact disks labeled "Copy 1" and "Copy 2." As required by 37 CFR § 1.52(e)(3), Applicants herein provide the following information for each disk:

Disk labeled "Copy 1"

Machine format: IBM-PC
Operating System Compatibility: MS-Windows
Files:

File Name: DNA1170-2algorithm.txt
File Size: 126 KB
Date Created: 08/15/2003
File Type: Text Document

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"EXPRESS MAIL" LABEL NUMBER EV 318739855 US DATE OF DEPOSIT August 19, 2003
I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE
"EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS
ADDRESSED TO COMMISSIONER FOR PATENTS, BOX PATENT APPLICATION, U.S. PATENT AND TRADEMARK OFFICE, P.O.
BOX 2327, ARLINGTON, VA 22202.

JASON BERRY
(TYPED OR PRINTED NAME OF PERSON MAILING PAPER)

Jason Berry
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

In re Application of
Frudakis and Shriver
Application No.: Unassigned
Filed: August 18, 2003
Page 2

PATENT
ATTY. DOCKET NO.: DNA1170-2

Disk labeled "Copy 2"

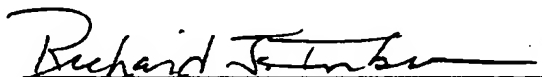
Machine format: IBM-PC
Operating System Compatibility: MS-Windows
Files:

File Name: DNA1170-2algorithm.txt
File Size: 126 KB
Date Created: 08/15/2001
File Type: Text Document

I hereby state, as required by 37 C.R.F. § 1.52(e)(4), that the Computer Program
Listing Appendix on the CD-R compact disc labeled as "Copy 1" is identical to the Computer
Program Listing Appendix on the CD-R compact disc labeled as "Copy 2."

Respectfully submitted,

Date: August 19, 2003



Richard J. Imbra
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